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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/535,690	04/10/2006	Masaichi Hasegawa	TC00001	7227

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EXAMINER

BALASUBRAMANIAN, VENKATARAMAN

ART UNIT

PAPER NUMBER

1624

NOTIFICATION DATE

DELIVERY MODE

09/22/2008

ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

US\_cipkop@gsk.com

### Office Action Summary

**Application No.**

10/535,690

**Applicant(s)**

HASEGAWA ET AL.

**Examiner**/Venkataraman  
Balasubramanian/**Art Unit**

1624

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 19 May 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-11 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-11 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 5/19/2006, 2/13/2006, 3/20/2006, 11/22/2006
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date: \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_



### **DETAILED ACTION**

The preliminary amendment filed on 5/19/2005 is made of record. Claims 1-11 are pending.

#### ***Information Disclosure Statement***

References cited in the Information Disclosure Statements, filed on 5/19/2005, 2/13/2006, 3/20/2006 & 11/22/2006, are made of record.

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1-11 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

1. Recitation of "physiologically functional derivative thereof" in claims 1-2 and 4-11 and their dependent claims indefinite as it implies more than what is being positively recited. The term derivative can include any organic compound and hence the scope of the claim is unclear. In addition, reading the specification (page 18), the phrase is meant to include ester, and amide. Again it is not clear what are the metes and bounds of the phrase. Note there is no guidance as to structural make-up of the esters and amide thereof.

Furthermore, the issue on second paragraph is whether the structures of the claimed compounds are clearly defined. Applicants' "physiologically functional derivative" are molecules whose structure lie outside the subject matter of formula (I),

but upon metabolism in the body are converted to active compounds falling within the structural scope of formula (I). The claim describes the function intended but provides no specific structural guidance to what constitutes a "physiologically functional derivative". Structural formulas, names, or both can accurately describe organic compounds, which are the subject matter of claim 1-2 & 4-11. Attempting to define means by function is not proper when the means can be clearly expressed in terms that are more precise.

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 1-11 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for making salts of the claimed compounds, does not reasonably provide enablement for making physiologically functional derivative of the claimed compounds. The claim(s) contains subject matter that was not described in the specification in such a way as to enable one skilled in the art of medicinal chemistry - to use the invention.

"The factors to be considered in making an enablement rejection have been summarized as the quantity of experimentation necessary, the amount of direction or guidance presented, the presence or absence of working examples, the nature of the invention, the state of the prior art, the relative skill of those in that art, the predictability or unpredictability of the art and the breadth of the claims", In re Rainer, 146 USPQ 218 (1965); In re Colianni, 195 USPQ 150, Ex parte Formal, 230 USPQ 546. Finding a

prodrug is an empirical exercise. Predicting if a certain ester of a claimed alcohol, for example, is in fact a prodrug, and produces the active compound metabolically, in man, at a therapeutic concentration and at a useful rate is filled with experimental uncertainty. Although attempts have been made to predict drug metabolism 'de novo, this is still an experimental science. For a compound to be a prodrug, it must meet three tests. It must itself be biologically inactive. It must be metabolized to a second substance in a human at a rate and to an extent to produce that second substance at a physiologically meaningful concentration. Thirdly, that second substance must be biologically active. Thus, determining whether a particular compound meets these three criteria in a clinical trial setting requires a large quantity of experimentation.

The direction concerning the prodrug is found in page 18. There is no working example of a prodrug of a compound the formula (I). The nature of the invention is clinical use of compounds and the pharmacokinetic behavior of substances in the human body. The state of the prodrug art is summarized by Wolff (Medicinal Chemistry). The table on the left side of page 976 outlines the research program to be undertaken to find a prodrug. The second paragraph in section 10 and the paragraph spanning pages 976-977 indicate the low expectation of success. In that paragraph the difficulties of extrapolating between species are further developed. Since, the prodrug concept is a pharmacokinetic issue, the lack of any standard pharmacokinetic protocol discussed in the last sentence of this paragraph is particularly relevant. Banker (Modern Pharmaceutics) in the first sentence, third paragraph on page 596 states that "extensive development must be undertaken" to find a prodrug. Wolff (Medicinal Chemistry) in the

last paragraph on page 975 describes the artisans making Applicants' prodrugs as a collaborative team of synthetic pharmaceutical chemists and metabolism experts. All would have a Ph. D. degree and several years of industrial experience. It is well established that "the scope of enablement varies inversely degree of unpredictability of the factors involved", 'and physiological activity is generally considered to be an unpredictable factor. See *In re Fisher*, 427 F.2d 833, 839, 166 USPQ 18, 24 (CCPA 1970). h) The breadth of the claims includes all of the hundreds of thousands of compounds of formula of claim I as well as the presently unknown list potential prodrug derivatives embraced by the phrase "physiologically functional derivative".

Thus, undue experimentation will be required to determine if any particular derivative is, in fact, a prodrug.

MPEP 2164.01(a) states, "A conclusion of lack of enablement means that, based on the evidence regarding each of the above factors, the specification, at the time the application was filed, would not have taught one skilled in the art how to make and/or use the full scope of the claimed invention without undue experimentation. *In re Wright*, 999 F.2d 1557,1562, 27 USPQ2d 1510, 1513 (Fed. Cir. 1993)." That conclusion is clearly justified here. Thus, undue experimentation will be required to make Applicants' invention.

Claims 1-11 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for making pharmaceutically acceptable salts does not reasonably provide enablement for making solvate. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly

connected, to make and use the invention commensurate in scope with these claims. The following apply.

In evaluating the enablement question, several factors are to be considered. Note *In re Wands*, 8 USPQ2d 1400 and *Ex parte Forman*, 230 USPQ 546. The factors include: 1) The nature of the invention, 2) the state of the prior art, 3) the predictability or lack thereof in the art, 4) the amount of direction or guidance present, 5) the presence or absence of working examples, 6) the breadth of the claims, and 7) the quantity of experimentation needed.

**1. The nature of the invention and the state of the prior art:**

The invention is drawn to compound of formula I, or a pharmaceutically acceptable salt, solvate or physiologically functional derivative thereof. Specification is not adequately enabled as to how to make solvate of compounds of formula (I) Specification has no example of hydrate of the instant compounds. Specification on page 18, second paragraph recites solvate thereof but there is no enabling of such compounds.

Although the compounds of the instant claims are limited two species given range of solvents available and their combination, one need to extensive experimentation to establish these species would form a solvate at all.

Search in the pertinent art, including water as solvent resulted in a pertinent reference, which is indicative of unpredictability of hydrate formation in general. The state of the art is that is not predictable whether solvates or hydrates will form or what their composition will be. In the language of the physical chemist, a hydrate of organic



molecule is an interstitial solid solution. This phrase is defined in the second paragraph on page 358 of West (Solid State Chemistry). The solvent molecule is a species introduced into the crystal and no part of the organic host molecule is left out or replaced. In the first paragraph on page 365, West (Solid State Chemistry) says, "it is not usually possible to predict whether solid solutions will form, or if they do form what is the compositional extent". Thus, in the absence of experimentation one cannot predict if a particular solvent will solvate any particular crystal. One cannot predict the stoichiometry of the formed solvate, i.e. if one, two, or a half a molecule of solvent added per molecule of host. Compared with polymorphs, there is an additional degree of freedom to hydrates, which means a different solvent or even the moisture of the air that might change the stable region of the hydrate. In the instant case of hydrate a similar reasoning therefore apply. Water is a solvent and hence it is held that a pertinent detail of West, which relates to solvates, is also applicable to hydrate

In addition, an additional search resulted in Vippagunta et al., Advanced Drug Delivery Reviews 48: 3-26, 2001, which clearly states that formation of hydrates is unpredictable. See entire document especially page 18, right column section 3.4. Note Vippagunta et al., states "Each solid compound responds uniquely to the possible formation of solvates or hydrates and hence generalizations cannot be made for series of related compounds".

**2. The predictability or lack thereof in the art:**

Hence, the solvate as applied to the above-mentioned compounds claimed by the applicant are not art-recognized compounds and hence there should be adequate enabling disclosure in the specification with working example(s).

**3. The amount of direction or guidance present:**

Examples illustrated in the experimental section are limited to making the compounds not related to solvates. There is no example of a solvate or hydrate of instant compound. Seventy-eight compounds were shown in the examples of the specification each of which has come in contact with water and other solvent but there is no showing that instant compounds formed solvates or hydrates. Hence it is clear that merely bring the compound with solvent or water does not result in solvate or hydrate and additional direction or guidance is needed to make them. Specification has no such direction or guidance.

**4. The presence or absence of working examples:**

There is no working example of any solvate or hydrate formed. The claims are drawn to hydrate, yet the numerous examples presented all failed to produce a solvate or hydrate or even hydrate. These cannot be simply willed into existence. As was stated in *Morton International Inc. v. Cardinal Chemical Co.*, 28 USPQ2d 1190 "The specification purports to teach, with over fifty examples, the preparation of the claimed compounds with the required connectivity. However ... there, is no evidence that such compounds exist... the examples of the '881 patent do not produce the postulated compounds... there is ...' no evidence that such compounds even exist." The same circumstance appears to be true here. There is no evidence that hydrates of these

compounds actually exists; if they did, they would have formed. Hence, there should be showing supporting that solvates and hydrates of these compounds exist and therefore can be made.

**5. The breadth of the claims & the quantity of experimentation needed:**

Specication has no support, as noted above, for compounds generically embraced in the claim 1 would lead to desired solvate and hydrate of the compound of formula I. As noted above, solvents list would include large number of solvents and their combinations and hence the breadth of the claim is broad. The quantity of experimentation needed would be an undue burden on skilled art in the chemical art since there is inadequate guidance given to the skilled artisan for the many reasons stated above. Even with the undue burden of experimentation, there is no guarantee that one would get the product of desired hydrate of compound of formula I embraced in the instant claims in view of the pertinent reference teachings.

MPEP 2164.01(a) states, "A conclusion of lack of enablement means that, based on the evidence regarding each of the above factors, the specification, at the time the application was filed, would not have taught one skilled in the art how to make and/or use the full scope of the claimed invention without undue experimentation. In re Wright, 999 F.2d 1557,1562, 27 USPQ2d 1510, 1513 (Fed. Cir. 1993)." That conclusion is clearly justified here. Thus, undue experimentation will be required to make Applicants' invention.

Claims 1-5 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for treating rheumatoid arthritis and breast cancer ,

does not reasonably provide enablement for treating any or all proliferative disorders, and any or all cancers based on the mode of action of the compounds as protein kinase inhibitors as generically embraced in the claim language. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to use the invention commensurate in scope with these claims.

The instant method of use claims 10-16 are drawn to treating diseases associated with protein kinase in general including tyrosine kinases, serine threonine kinase and for treating proliferative diseases and cancers.

Instant claims, as recited, are reach through claims. A reach through claim is a claim drawn to a mechanistic, receptor binding or enzymatic functionality in general format and thereby reach through a scope of invention for which they lack adequate written description and enabling disclosure in the specification.

In the instant case, based on the inhibition of protein kinases including TrkA, TrkB, TrkC, or Flt-3 by the instant compounds, instant claims reach through inhibiting and treating any or all diseases in general and thereby they lack adequate written description and enabling disclosure in the specification.

More specifically, in the instant case, based on the mode of action of instant compounds as inhibitor of protein kinases including TrkA, TrkB, TrkC, or Flt-3, based on limited assay, it is claimed that inhibiting any or all kinases and treating any or all diseases including any or all cancers, any or all proliferative diseases in general, which there is no enabling disclosure.

The scope of the claims, in addition to treating any or all diseases, includes any

or all cancer due to receptor protein kinase inhibition including those yet to be discovered as due said mode of action for which there is no enabling disclosure. In addition, the scope of these claims includes treatment of various cancers as the term cancer includes lung cancer, bone cancer, pancreatic cancer, skin cancer. cancer of the head or neck, cutaneous or intraocular melanoma, uterine cancer, ovarian cancer, rectal cancer, cancer of the anal region. stomach cancer, colon cancer, breast cancer, uterine cancer, carcinoma of the fallopian tubes, carcinoma of the endometrium, carcinoma of the cervix, carcinoma of the vagina, carcinoma of the vulva, Hodgkin's disease, cancer of the esophagus, cancer of the small intestine, cancer of the endocrine system, cancer of the thyroid gland, cancer of the parathyroid gland, cancer of the adrenal gland, sarcoma of soft tissue, cancer of the urethra, cancer of the penis, prostate cancer, chronic or acute leukemia, lymphocytic lymphomas, cancer of the bladder, cancer of the kidney or ureter, renal cell carcinoma, carcinoma of the renal pelvis, neoplasms of the central nervous system (CNS), primary CNS lymphoma, spinal axis tumors, brain stem glioma, pituitary adenoma, or a combination of one or more of the foregoing cancers, which are not adequately enabled solely based on the activity of the compounds provided in the specification. Besides the generic cancer, specification also recites a list of preferred cancers for which also there are enabling disclosure .

The same applies to proliferative diseases which comprise a huge list of diseases.

The instant compounds are disclosed to have receptor protein kinase inhibitory activity and it is recited that the instant compounds are therefore useful in treating any

or all cancer stated above for which applicants provide no competent evidence. It appears that the applicants are asserting that the embraced compounds because of their mode action as protein kinase inhibitor that would be useful for all sorts of cancers and cancers. However, the applicants have not provided any competent evidence that the instantly disclosed tests are highly predictive for all the uses disclosed and embraced by the claim language for the intended host. Moreover many if not most of diseases such as psoriasis, lung cancer, brain cancer, pancreatic cancer, colon cancer etc. are very difficult to treat and despite the fact that there are many anticancer drugs.

The scope of the claims involves millions of compounds of claim 23 based on the generic definition of various variable groups as well as the thousand of diseases embraced by the term any disease or any cancer as well as any kinase.

Cancer is just an umbrella term. Tumors vary from those so benign that they are never treated to those so virulent that all present therapy is useless.

No compound has ever been found to treat cancers of all types generally. Since this assertion is contrary to what is known in medicine, proof must be provided that this revolutionary assertion has merits. The existence of such a "compound" is contrary to our present understanding of oncology. Cecil Textbook of Medicine states, "each specific type has unique biologic and clinical features that must be appreciated for proper diagnosis, treatment and study" (see the enclosed article, page 1004). Different types of cancers affect different organs and have different methods of growth and harm to the body. Thus, it is beyond the skill of oncologists today to get an agent to be effective against cancers generally. Note substantiation of utility and its scope is

required when utility is "speculative", "sufficiently unusual" or not provided. See *Ex parte Jovanovics*, 211 USPQ 907, 909; *In re Langer* 183 USPQ 288. Also note *Hoffman v. Klaus* 9 USPQ 2d 1657 and *Ex parte Powers* 220 USPQ 925 regarding type of testing needed to support *in vivo* uses.

Next, applicant's attention is drawn to the Revised Utility and Written Description Guidelines, at 66 FR 1092-1099, 2001 wherein it is emphasized that 'a claimed invention must have a specific and substantial utility'. The disclosure in the instant case is not sufficient to enable the instantly claimed method treating solely based on the inhibitory activity disclosed for the compounds. The state of the art is indicative of the requirement for undue experimentation. See *Mass, R. D.*, *Int. J. Radiation Oncology Bio. Phys.* Vol. 58(3): 932-940, 2004 and *Fabbro et al. Pharmacology & therapeutics* 93, 79-98, 2002.

In evaluating the enablement question, several factors are to be considered. Note *In re Wands*, 8 USPQ2d 1400 and *Ex parte Forman*, 230 USPQ 546. The factors include: 1) The nature of the invention, 2) the state of the prior art, 3) the predictability or lack thereof in the art, 4) the amount of direction or guidance present, 5) the presence or absence of working examples, 6) the breadth of the claims, and 7) the quantity of experimentation needed.

1) The nature of the invention: Therapeutic use of the compounds in treating disorders/diseases that require receptor protein kinase inhibitory activity.

2) The state of the prior art: Recent publications expressed that the receptor protein kinase inhibition effects are unpredictable and are still exploratory. See *Mass et*

al. and Fabbro et al., cited above especially the concluding paragraph.

3) The predictability or lack thereof in the art: Applicants have not provided any competent evidence or disclosed tests that are highly predictive for the pharmaceutical use for treating any or all cancers or abnormal cell growth of the instant compounds. Pharmacological activity in general is a very unpredictable area. Note that in cases involving physiological activity such as the instant case, "the scope of enablement obviously varies inversely with the degree of unpredictability of the factors involved". See *In re Fisher*, 427 F.2d 833, 839, 166 USPQ 18, 24 (CCPA 1970).

4) The amount of direction or guidance present and 5) the presence or absence of working examples: Specification has no working examples to show treating any or all cancers or abnormal cell growth and the state of the art is that the effects of protein kinase inhibitors are unpredictable.

6) The breadth of the claims: The instant claims embrace any or all cancers and cancers including those yet to be related to protein kinase.

7) The quantity of experimentation needed would be an undue burden to one skilled in the pharmaceutical arts since there is inadequate guidance given to the skilled artisan, regarding the pharmaceutical use, for the reasons stated above.

Thus, factors such as "sufficient working examples", "the level of skill in the art" and "predictability", etc. have been demonstrated to be sufficiently lacking in the instant case for the instant method claims. In view of the breadth of the claims, the chemical nature of the invention, the unpredictability of enzyme-inhibitor interactions in general, and the lack of working examples regarding the activity of the claimed compounds



towards treating the variety of diseases of the instant claims, one having ordinary skill in the art would have to undergo an undue amount of experimentation to use the instantly claimed invention commensurate in scope with the claims.

MPEP §2164.01(a) states, "A conclusion of lack of enablement means that, based on the evidence regarding each of the above factors, the specification, at the time the application was 'filed, would not have taught one skilled in the art how to make and/or use the full scope of the claimed invention without undue experimentation. In re Wright, 999 F.2d 1557,1562, 27 USPQ2d 1510, 1513 (Fed. Cir. 1993)." That conclusion is clearly justified here and undue experimentation will be required to practice Applicants' invention.

### ***Conclusion***

Any inquiry concerning this communication from the examiner should be addressed to Venkataraman Balasubramanian (Bala) whose telephone number is (571) 272-0662. The examiner can normally be reached on Monday through Thursday from 8.00 AM to 6.00 PM. The Supervisory Patent Examiner (SPE) of the art unit 1624 is James O. Wilson, whose telephone number is 571-272-0661. The fax phone number for the organization where this application or proceeding is assigned (571) 273-8300. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (571) 272-1600.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAG. Status

information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-2 17-9197 (toll-free).

/Venkataraman Balasubramanian/  
Primary Examiner, Art Unit 1624